(512)463-5800 1-800-325-8506 P.O. Box 12070 Austin, Texas 78711-2070 Texas Ethics Commission PERSONAL FINANCIAL STATEMENT FORM PFS **COVER SHEET** PAGE# Filed in accordance with chapter 572 of the Government Code. Page 1 of 78 For filings required in 2014, covering calendar year ending December 31, 2013. ACCOUNT # 00020990 Use FORM PFS - INSTRUCTION GUIDE when completing this form. TITLE, FIRST, MI 1 NAME **OFFICE USE ONLY** Sen. Royce Date Received RECEIVED NICKNAME, LAST, SUFFIX West JAN 27 2014 2 ADDRESS **Texas Ethics Commission [** 320 South R. L. Thornton Freeway Receipt # Suite 300 HD / PM Dallas, TX 75203-1804 Legal "PRÖCESSED" JAN 28201 (CHECK IF FILER'S HOME ADDRESS) AREA CODE NUMBER; EXTENSION 3 TELEPHONE NUMBER 4 REASON FOR FILING CANDIDATE _____ (INDICATE OFFICE) **STATEMENT** X ELECTED OFFICER Texas Senator, District 23 (INDICATE OFFICE) APPOINTED OFFICER ______(INDICATE AGENCY) EXECUTIVE HEAD ______ (INDICATE AGENCY) ☐ FORMER OR RETIRED JUDGE SITTING BY ASSIGNMENT STATE PARTY CHAIR ______(INDICATE PARTY) OTHER ______ (INDICATE POSITION) Family members whose financial activity you are reporting (filer must report information about the financial activity of the filer's spouse or dependent children if the filer had actual control over that activity):

3.

In parts 1 through 18, you will disclose your financial activity during the calendar year. In parts 1 through 14, you are required to disclose not only your own financial activity, but also that of your spouse or a dependent child if you had actual control over that person's financial activity.

DEPENDENT CHILD 1. ___

1-800-325-8506

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

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STOCK					PART 2
☐ NOT APPLICABL	E				
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.					
When reporting information providing the number u	ation about a de inder which the	pendent child's activity, child is listed on the Co	indicate the child alver Sheet.	bout whom you are re	eporting by
¹ BUSINESS ENTITY		ALTRIA GROUP INC	NA	ME	
2 STOCK HELD OR A	CQUIRED BY		SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
⁴ IF SOLD	NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		AMERICAN AIRLINES		ME	
STOCK HELD OR A	CQUIRED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		AMERICAN INTERNA		ME C	
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		APPLE INC	NA	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		AT&T INC	NA	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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STOCK					PART 2
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When reporting informa providing the number ur				pout whom you are re	eporting by
¹ BUSINESS ENTITY		NAME BANK OF AMERICA CORP			
2 STOCK HELD OR AC	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHARE	S	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	1,000 TO 4,999
⁴ IF SOLD I	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		CATERPILLAR	NA	ME	
STOCK HELD OR AC	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARE	ES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ENERGY XXI GULF C		ME	
STOCK HELD OR AC	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARE	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		FACEBOOK INC	NA	ME	
STOCK HELD OR AC	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARE	≣S	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		FIRST TR FINANCIAL		ME	
STOCK HELD OR AC	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARE	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☒ 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				eporting by	
¹ BUSINESS ENTITY	40.00	ISHARES IBOXX\$ HIG	NA GH YIEL	ME	
2 STOCK HELD OR A	CQUIRED BY		SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	LESS THAN 100	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ISHARES INC CORE I	NA MSCI	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	X LESS THAN 100 □ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ISHARES MSCI BRAZ		ME	
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			TL	DEPENDENT CHIL 500 TO 999	D 1,000 TO 4,999
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STOCK HELD OR A NUMBER OF SHAR	ES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
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STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ES NET GAIN NET LOSS CQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ISHARES MSCI EMER ☐ LESS THAN 100	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA SPOUSE 100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
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Austin, Texas 78711-2070

STOCK					PART Z
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When reporting inform providing the number	nation about a de under which the	pendent child's activity, child is listed on the Co	indicate the child alver Sheet.	bout whom you are re	eporting by
¹ BUSINESS ENTITY	,	ISHARES S&P 100			
2 STOCK HELD OR A	ACQUIRED BY		SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	ISHARES S&P GLBL I		ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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NUMBER OF SHAF	RES	IESS THAN 100□ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	ISHARES U.S.	NA	ME	
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IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	MARKET VECTORS E		ME	
STOCK HELD OR A	ACQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAF	RES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE

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and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe or of shares held or acq or loss realized from th	uired. If some or all	of the stock was sold	d, also indicate the
		pendent child's activity, child is listed on the Co		oout whom you are re	eporting by
¹ BUSINESS ENTITY		MARKET VECTORS E	NA TF TR GOLD MINEF		
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		POWERSHARES QQ	NA Q TR UNITS	ME	
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		PROSHARES S&P 50		ME	
STOCK HELD OR A	CQUIRED BY		SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
IF SOLD	NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		SECTOR SPDR INDU		ME	
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¹ BUSINESS ENTITY		SOUTHWEST AIRLNS	S CO	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D
³ NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☑ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
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IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		SPDR GOLD TRUST	NA	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	ES	X LESS THAN 100☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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STOCK HELD OR A	CQUIRED BY		SPOUSE	DEPENDENT CHIL	D
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IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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When reporting inform providing the number of	ation about a de under which the	pendent child's activity, child is listed on the Co	indicate the child alver Sheet.	bout whom you are re	eporting by
¹ BUSINESS ENTITY		SPDR S P DIVID ETF	NA	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAR	RES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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STOCK HELD OR A	ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	SPDR S&P 500 ETF T		ME	
STOCK HELD OR A	ACQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	•	SPDR S&P INTL TELE		AME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	•	VANGUARD HIGH D\		AME	
STOCK HELD OR	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
	COBY A	ND ATTACH ADDITI	ONAL PAGES AS	NECESSARY	

STOCK					PART 2
☐ NOT APPLICABL	.E				
List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE.					
When reporting inform providing the number u	ation about a deputed inder which the control	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
¹ BUSINESS ENTITY		VANGUARD INDUSTRIAL ETF			
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D
³ NUMBER OF SHAR	RES	X LESS THAN 100 □ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		VANGUARD INFORMA		ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHILI	D
NUMBER OF SHAR	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	VANGUARD MEGA CA		AME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	RES	X LESS THAN 100D 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	VANGUARD MSCI EM		AME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHAR	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999 E	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	, , , , , , , , , , , , , , , , , , ,	WAL-MART STORES		AME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	.D
NUMBER OF SHAF	RES	☐ LESS THAN 100☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999 ≣	X 1,000 TO 4,999
		T			-
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE

STOCK					PART 2
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When reporting inform providing the number of	ation about a depunder which the o	pendent child's activity, child is listed on the Co	indicate the child alver Sheet.	bout whom you are re	eporting by
¹ BUSINESS ENTITY		WHOLE FOODS MKT INC COM			
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		WISDOMTREE TRUS		ME QUITY FD	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	3M COMPANY	NA	ME	
BUSINESS ENTITY STOCK HELD OR A		3M COMPANY	NA SPOUSE	ME DEPENDENT CHIL	D
	ACQUIRED BY			DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ LESS THAN 100	☐ SPOUSE ☑ 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ SPOUSE ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL	☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100☐ 5,000 TO 9,999☐ ☐ LESS THAN \$5,000☐	☐ SPOUSE ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ALEXION PHARMS IN	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 IC SPOUSE 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 IC	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS NET GAIN NET LOSS NET GAIN NET LOSS NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 IC	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR AN NUMBER OF SHARE IF SOLD BUSINESS ENTITY STOCK HELD OR AN NUMBER OF SHARE IF SOLD BUSINESS ENTITY	ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ALPS SECTOR DIVID	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ALEXION PHARMS IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ALPS SECTOR DIVID ☐ FILER ☐ LESS THAN 100	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 IC □ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 ND DOGS □ SPOUSE □ 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999

STOCK					PART 2
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¹ BUSINESS ENTITY	,	ANADARKO PETE CC	NA PRP	ME	
2 STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ☑ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	-	APPLE INC	NA	ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAF	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	ARCHER DANIELS M		ME	
BUSINESS ENTITY STOCK HELD OR A		ARCHER DANIELS MI		ME DEPENDENT CHIL	D
	ACQUIRED BY		IDLD	DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ LESS THAN 100	SPOUSE 100 TO 499 10,000 OR MORE	DEPENDENT CHIL	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	DLD SPOUSE X 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	DLD SPOUSE X 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 AUTOMATIC DATA PR	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 AUTOMATIC DATA PI ☐ FILER ☐ LESS THAN 100	SPOUSE SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 ROC SPOUSE 100 TO 499	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL ☐ 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 AUTOMATIC DATA PRESENTED LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 AUTOMATIC DATA PRESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ LESS THAN \$5,000	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 AUTOMATIC DATA PRESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 BANK OF AMERICA CO	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA	□ DEPENDENT CHIL □ 500 TO 999 □ \$10,000 - \$24,999 ME □ DEPENDENT CHIL □ 500 TO 999 □ \$10,000 - \$24,999 ME □ DEPENDENT CHIL ☒ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 AUTOMATIC DATA PRESENTIAN \$5,000 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ BANK OF AMERICA CON FILER ☐ LESS THAN 100 ☐ LESS THAN 100	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 CORP SPOUSE 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499 100 TO 499	□ DEPENDENT CHIL □ 500 TO 999 □ \$10,000 - \$24,999 ME □ DEPENDENT CHIL □ 500 TO 999 □ \$10,000 - \$24,999 ME □ DEPENDENT CHIL ☒ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D

STOCK					PART 2
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¹ BUSINESS ENTITY		CAPITAL ONE FINL	NA	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D
³ NUMBER OF SHAR	RES	LESS THAN 100	X 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		CATAMARAN CORP S		ME	
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☑ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	CATERPILLAR INC DI		ME	
BUSINESS ENTITY STOCK HELD OR A		CATERPILLAR INC DI		ME DEPENDENT CHIL	D
	ACQUIRED BY		EL	DEPENDENT CHIL 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ 5,000 TO 9,999	EL SPOUSE 100 TO 499 10,000 OR MORE	DEPENDENT CHIL 500 TO 999	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ 5,000 TO 9,999	EL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☒ FILER☒ LESS THAN 100☐ 5,000 TO 9,999☒ LESS THAN \$5,000	EL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE	EL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE ☐ FILER ☐ LESS THAN 100	EL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 EL SER A SPOUSE 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	EL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE D 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	EL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE 1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CELANESE CORP DE ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ CHENIERE ENERGY	EL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA SPOUSE NA SPOUSE NA SPOUSE NA SPOUSE SER NA SPOUSE SER S	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE 1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	ILER ILESS THAN 100 □ 5,000 TO 9,999 ILESS THAN \$5,000 CELANESE CORP DE ILESS THAN 100 □ 5,000 TO 9,999 ILESS THAN \$5,000 CHENIERE ENERGY ILESS THAN 100	EL SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 SPOUSE 10,000 OR MORE \$5,000 - \$9,999 NA	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D

STOCK					PART 2
☐ NOT APPLICABLE					
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When reporting information providing the number under				bout whom you are re	eporting by
¹ BUSINESS ENTITY		CHEVRON CORP	NA	ME	
2 STOCK HELD OR ACQ	UIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
	NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		CHICAGO BRDG &IRO		ME	
STOCK HELD OR ACQ	UIRED BY		SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	■ 100 TO 499■ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
11 OOLD —	NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		CHUBB CORP	NA	ME	
STOCK HELD OR ACQ	UIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
	NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		CISCO SYSTEMS INC		ME	
STOCK HELD OR ACQ	UIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
11 0000	NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
DUOINEGO ENTITY					
BUSINESS ENTITY		CLEAN HARBORS IN		ME	
STOCK HELD OR ACQ	UIRED BY	CLEAN HARBORS IN		ME DEPENDENT CHIL	D
	UIRED BY		C 	DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR ACQ NUMBER OF SHARES IF SOLD	UIRED BY NET GAIN NET LOSS	☐ LESS THAN 100	☐ SPOUSE ☑ 100 TO 499	DEPENDENT CHIL	1,000 TO 4,999

STOCK					PARI Z
☐ NOT APPLICABL	E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe ir of shares held or acq or loss realized from the	uired. If some or all	of the stock was sold	d, also indicate the
When reporting inform providing the number to	ation about a de under which the o	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by
¹ BUSINESS ENTITY		CLEARBRIDGE ENER	NA GY MLP	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ☑ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		COCA COLA COM	NA	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	LESS THAN 100 5,000 TO 9,999	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	NET GAIN □ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
			NA	NAC"	
BUSINESS ENTITY		COGNIZANT TECH S		E	
BUSINESS ENTITY STOCK HELD OR A		COGNIZANT TECH S		DEPENDENT CHIL	D
	CQUIRED BY		OLUTNS A	DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR A	CQUIRED BY	☐ FILER ☐ LESS THAN 100	SPOUSE 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ 5,000 TO 9,999	DLUTNS A SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☒ FILER☒ LESS THAN 100☐ 5,000 TO 9,999☒ LESS THAN \$5,000	DLUTNS A SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ COLUMBIA SEL LG C	DLUTNS A SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ COLUMBIA SEL LG COLUMBIA SEL COLUMBIA	DLUTNS A SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 P GRW Z SPOUSE 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ COLUMBIA SEL LG COLUMBIA SEL	DLUTNS A SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 P GRW Z SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE D 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET GAIN NET LOSS	 X FILER X LESS THAN 100 ☐ 5,000 TO 9,999 X LESS THAN \$5,000 COLUMBIA SEL LG C X FILER X LESS THAN 100 ☐ 5,000 TO 9,999 X LESS THAN \$5,000 	DLUTNS A SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 P GRW Z SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE 1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR AN NUMBER OF SHARE IF SOLD BUSINESS ENTITY STOCK HELD OR AN NUMBER OF SHARE IF SOLD BUSINESS ENTITY	ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY ACQUIRED BY	 Image: Incomplete the control of the cont	DLUTNS A SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 P GRW Z SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE 1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY ACQUIRED BY		DLUTNS A SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 P GRW Z SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA SPOUSE SPOUSE 100 TO 499 10,000 OR MORE	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999

STOCK					PARI Z
☐ NOT APPLICABL	E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe r of shares held or acq or loss realized from the	uired. If some or all	of the stock was solo	d, also indicate the
When reporting information providing the number u	ation about a de under which the o	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by
¹ BUSINESS ENTITY		D R HORTON INC	NA	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	NET GAIN □ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		DISCOVER FINL SVC		ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	LESS THAN 100	X 100 TO 499 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN ☐ NET LOSS	LESS THAN \$5,000	X \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
			NA	ME	
BUSINESS ENTITY		EBAY INC COM		···-	
STOCK HELD OR A		EBAY INC COM	SPOUSE	DEPENDENT CHIL	D
·	CQUIRED BY			DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR A	CQUIRED BY	☐ LESS THAN 100	☐ SPOUSE ☑ 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A	CQUIRED BY ES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ SPOUSE ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	CQUIRED BY ES NET GAIN NET LOSS	☐ LESS THAN 100☐ 5,000 TO 9,999☐ ☐ LESS THAN \$5,000☐	☐ SPOUSE ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	CQUIRED BY ES NET GAIN NET LOSS	☐ LESS THAN 100☐ 5,000 TO 9,999☐ ☐ LESS THAN \$5,000☐ ELAN CORP PLC ADE	☐ SPOUSE ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	CQUIRED BY ES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ELAN CORP PLC ADR	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 NA R ☐ SPOUSE ☐ 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR	CQUIRED BY ES NET GAIN NET LOSS CQUIRED BY ES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ELAN CORP PLC ADF ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 NA ☐ SPOUSE ☐ 10,000 OR MORE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE D 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD	CQUIRED BY SES CQUIRED BY CQUIRED BY SES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ELAN CORP PLC ADF ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 NA ☐ SPOUSE ☐ 10,000 OR MORE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHILL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	CQUIRED BY ES NET GAIN NET LOSS CQUIRED BY ES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ELAN CORP PLC ADF ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ELI LILLY & CO	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 NA SPOUSE ☐ 10,000 OR MORE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHILL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ☐ □ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	CQUIRED BY ES NET GAIN NET LOSS CQUIRED BY ES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ELAN CORP PLC ADF ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ELI LILLY & CO ☐ FILER ☐ LESS THAN 100	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 NA ☐ SPOUSE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 NA ☐ SPOUSE ☐ 100 TO 499 ☐ 100 TO 499 ☐ 100 TO 499	☐ DEPENDENT CHILL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ME ☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999 ☐ □ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE

STOCK					PART 2
☐ NOT APPLICABL	LE				
and indicate the category	ory of the numbe nt of the net gain	your spouse, or a depe er of shares held or acqu or loss realized from the	uired. If some or all	of the stock was solo	d, also indicate the
When reporting inform providing the number of	nation about a de under which the o	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
¹ BUSINESS ENTITY	,	EMERSON ELEC CO	NA	ME	
2 STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHAR	RES	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	∑ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	X NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	X \$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	ENERGY XXI LTD NE		ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	RES	LESS THAN 100 5,000 TO 9,999	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN ☑ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	·	FOO DECOURAGES IN		ME	
		EOG RESOURCES IN			
STOCK HELD OR A		EOG RESOURCES IN ☑ FILER	SPOUSE	DEPENDENT CHIL	D
	ACQUIRED BY			☐ 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ FILER ☐ LESS THAN 100	☐ SPOUSE ☐ 100 TO 499	☐ 500 TO 999	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ 5,000 TO 9,999	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	500 TO 999 : : : \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 EXPRESS SCRIPTS F	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	500 TO 999 \$10,000 - \$24,999 AME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 EXPRESS SCRIPTS H ☐ FILER ☐ LESS THAN 100	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA HLDG CO SPOUSE 100 TO 499	500 TO 999 \$10,000 - \$24,999 AME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE D 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 EXPRESS SCRIPTS H X FILER X LESS THAN 100 5,000 TO 9,999	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA HLDG CO SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE D 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	IN FILER IN LESS THAN 100 IN 5,000 TO 9,999 IN LESS THAN \$5,000 EXPRESS SCRIPTS H IN FILER IN LESS THAN 100 IN 5,000 TO 9,999 IN LESS THAN \$5,000	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA HLDG CO SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	500 TO 999	1,000 TO 4,999 \$25,000OR MORE 1,000 TO 4,999 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY ACQUIRED BY	IN FILER IN LESS THAN 100 IN 5,000 TO 9,999 IN LESS THAN \$5,000 EXPRESS SCRIPTS H IN FILER IN LESS THAN 100 IN 5,000 TO 9,999 IN LESS THAN \$5,000 EXXON MOBIL CORP	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 HLDG CO SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	500 TO 999	1,000 TO 4,999 \$25,000OR MORE 1,000 TO 4,999 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY ACQUIRED BY	X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 EXPRESS SCRIPTS X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 EXXON MOBIL CORP	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 HLDG CO □ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 COM □ SPOUSE □ 100 TO 499	500 TO 999	1,000 TO 4,999 \$25,000OR MORE 1,000 TO 4,999 \$25,000OR MORE 1,000 TO 4,999

STOCK					PART 2
☐ NOT APPLICABI	LE				
and indicate the cated	ory of the numbent of the net gain	your spouse, or a depe er of shares held or acq or loss realized from th	uired. If some or all	of the stock was sold	d, also indicate the
When reporting inform providing the number	nation about a de under which the	pendent child's activity, child is listed on the Co	indicate the child al ver Sheet.	oout whom you are re	eporting by
¹ BUSINESS ENTITY	,	FORD MOTOR CO	NA	ME	
2 STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAF	RES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ☑ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	FRAC KINDER MORG		ME	
STOCK HELD OR A	ACQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAF	RES	LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	NET GAIN □ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	7	FREEPRT-MCMRAN		ME	
STOCK HELD OR A	ACQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAF	RES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☒ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	•	GABELLI DIV & INC T		ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAF	RES	LESS THAN 100	X 100 TO 499 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	•	GNC HOLDINGS INC		ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAF	RES	LESS THAN 100		☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	☐ NET GAIN X NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
	COPY A	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY	

STOCK					PART Z
☐ NOT APPLICABL	.E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe r of shares held or acq or loss realized from the	uired. If some or all	of the stock was sold	d, also indicate the
When reporting inform providing the number to	ation about a de under which the o	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by
¹ BUSINESS ENTITY		HALLIBURTON COMF		ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	LESS THAN 100 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ▼ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		HERTZ GLOBAL HOL		ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	RES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		HOME DEPOT INC	NA	ME	
BUSINESS ENTITY STOCK HELD OR A		HOME DEPOT INC	NA SPOUSE	ME DEPENDENT CHIL	D
	ACQUIRED BY			DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ FILER ☐ LESS THAN 100	☐ SPOUSE ☐ 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER☐ LESS THAN 100☐ 5,000 TO 9,999☐ LESS THAN \$5,000	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 HONEYWELL INTL IN	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 HONEYWELL INTL IN ☐ FILER ☐ LESS THAN 100	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 C DEL ☐ SPOUSE ☐ 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ HONEYWELL INTL IN☐ ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 C DEL □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999 □ 10,000 OR MORE	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE D 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ HONEYWELL INTL IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 C DEL □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999 □ 10,000 OR MORE	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ HONEYWELL INTL IN ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ INGREDION INC SHS	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 C DEL ☐ SPOUSE ☐ 10,000 OR MORE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	ILES THAN 100	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 C DEL ☐ SPOUSE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 NA ☐ SPOUSE ☐ SPOUSE ☐ \$100 TO 499 ☐ 10,000 OR MORE	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999

STOCK					PART 2
☐ NOT APPLICABL	E				
List each business enti and indicate the catego category of the amount INSTRUCTION GUIDE	ory of the numbe t of the net gain o	your spouse, or a depe r of shares held or acqu or loss realized from the	uired. If some or all	of the stock was sold	I, also indicate the
When reporting information providing the number up	ation about a dep under which the o	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	porting by
¹ BUSINESS ENTITY		INTL PAPER CO	NA	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D
³ NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	✓ 100 TO 499✓ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ISHARES BARCLAYS	NA TIPS BO	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY			NA	ME	
DOGINESS ENTIT		ISHARES PHLX			
STOCK HELD OR A	CQUIRED BY	ISHARES PHLX X FILER	SPOUSE	DEPENDENT CHIL	D
			☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR A		☐ FILER ☐ LESS THAN 100	☐ 100 TO 499	☐ 500 TO 999	
STOCK HELD OR A NUMBER OF SHAR	ES NET GAIN	☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	□ 500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ES NET GAIN NET LOSS	☒ FILER☒ LESS THAN 100☐ 5,000 TO 9,999☒ LESS THAN \$5,000	☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	□ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ES ☑ NET GAIN ☐ NET LOSS CQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ISHARES S&P 100	100 TO 499 10,000 OR MORE \$5,000 - \$9,999	500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ES ☑ NET GAIN ☐ NET LOSS CQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ ISHARES S&P 100 ☐ FILER ☐ LESS THAN 100	100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA SPOUSE 100 TO 499	500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR	ES NET GAIN NET LOSS CQUIRED BY ES NET GAIN	 ☒ FILER ☒ LESS THAN 100 ☐ 5,000 TO 9,999 ☒ LESS THAN \$5,000 ISHARES S&P 100 ☒ FILER ☒ LESS THAN 100 ☐ 5,000 TO 9,999 	100 TO 499	500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE D 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD	ES NET GAIN NET LOSS CQUIRED BY ES NET GAIN NET LOSS	X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 ISHARES S&P 100 X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000	100 TO 499	□ \$10,000 - \$24,999 ME □ DEPENDENT CHIL □ 500 TO 999 □ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ES NET GAIN NET LOSS CQUIRED BY ES NET GAIN NET LOSS	X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 ISHARES S&P 100 X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 ISHARES S&P GLBL I	100 TO 499	500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ES NET GAIN NET LOSS CQUIRED BY ES NET GAIN NET LOSS	 X FILER X LESS THAN 100 D 5,000 TO 9,999 X LESS THAN \$5,000 ISHARES S&P 100 X FILER X LESS THAN 100 D 5,000 TO 9,999 X LESS THAN \$5,000 ISHARES S&P GLBL IN THE INTERIOR INTERIOR INTERIOR IN THE INTERIOR INTERIOR INTERIOR INTERIOR INTERIOR INTERIOR INTERIOR IN	100 TO 499	500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ □ 1,000 TO 4,999

				PART 2
☐ NOT APPLICABLE				
List each business entity in which you and indicate the category of the nur category of the amount of the net go INSTRUCTION GUIDE.	ber of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a providing the number under which t	dependent child's activity ne child is listed on the Co	indicate the child alver Sheet.	oout whom you are re	eporting by
¹ BUSINESS ENTITY	ISHARES S&P GLOBA		ME	
2 STOCK HELD OR ACQUIRED E	Y X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHARES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	ISHARES SILVER TR		ME	
STOCK HELD OR ACQUIRED E	Y X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	JOHNSON AND JOH		ME	
STOCK HELD OR ACQUIRED E	Y X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	☐ LESS THAN 100☐ 5,000 TO 9,999	X 100 TO 499 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
M NET CAIN				
IF SOLD ☑ NET GAIN ☐ NET LOS:	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
11 0020	KINDER MORGANS	NA NA	\$10,000 - \$24,999	\$25,000OR MORE
□ NET LOS	KINDER MORGANS I	NA NA		
BUSINESS ENTITY	KINDER MORGANS I	NA MANAGEMENT LLC	DEPENDENT CHIL	
BUSINESS ENTITY STOCK HELD OR ACQUIRED E	KINDER MORGANS I Y X FILER X LESS THAN 100 5,000 TO 9,999	MANAGEMENT LLC SPOUSE 100 TO 499	DEPENDENT CHIL	.D
BUSINESS ENTITY STOCK HELD OR ACQUIRED E NUMBER OF SHARES IF SOLD NET LOSS NET L	KINDER MORGANS I Y X FILER X LESS THAN 100 5,000 TO 9,999	MANAGEMENT LLC SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	.D 1,000 TO 4,999
BUSINESS ENTITY STOCK HELD OR ACQUIRED E NUMBER OF SHARES IF SOLD NET GAIN NET LOSS	KINDER MORGANS I Y	MANAGEMENT LLC SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 510,000 - \$24,999	D 1,000 TO 4,999
BUSINESS ENTITY STOCK HELD OR ACQUIRED E NUMBER OF SHARES IF SOLD NET GAIN NET LOS:	KINDER MORGANS I Y	MANAGEMENT LLC SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 MME DEPENDENT CHIL 500 TO 999	D 1,000 TO 4,999
BUSINESS ENTITY STOCK HELD OR ACQUIRED E NUMBER OF SHARES IF SOLD WET GAIN NET LOSS BUSINESS ENTITY STOCK HELD OR ACQUIRED E	KINDER MORGANS I Y	MANAGEMENT LLC SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA SPOUSE 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 MME DEPENDENT CHIL 500 TO 999	D 1,000 TO 4,999

STOCK					PARI Z
☐ NOT APPLICABI	_E				
and indicate the categ	ory of the numbe nt of the net gain	your spouse, or a depe or of shares held or acq or loss realized from th	uired. If some or all	of the stock was sold	d, also indicate the
When reporting inform providing the number	nation about a de under which the o	pendent child's activity, child is listed on the Co	indicate the child a ver Sheet.	bout whom you are re	eporting by
¹ BUSINESS ENTITY		LINEAR TECHONOLG		ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAF	RES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	☐ NET GAIN ☑ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		LORILLARD INC	NA	ME	
STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAF	RES	X LESS THAN 100 □ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD	☐ NET GAIN ☑ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	•	LYONDELLBASELL IN		ME	
BUSINESS ENTITY STOCK HELD OR A		LYONDELLBASELL IN		ME DEPENDENT CHIL	D
***************************************	ACQUIRED BY		IDUSTRIE	DEPENDENT CHIL	D 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ LESS THAN 100	SPOUSE 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999	NDUSTRIE ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100☐ 5,000 TO 9,999☐ ☐ LESS THAN \$5,000☐ ☐ S,000☐ ☐ S	NDUSTRIE ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 ☐ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 MARKET VECTORS A	NDUSTRIE ☐ SPOUSE ☑ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 MARKET VECTORS A ☐ FILER ☐ LESS THAN 100	SPOUSE S	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ MARKET VECTORS A ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA GRBUSNSS SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 - \$9,000 \$5,000 \$5,000 - \$9,000 \$5,000	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 MARKET VECTORS A ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA GRBUSNSS SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999 \$5,000 - \$9,999 NA STORM \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 MARKET VECTORS A ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 MARKET VECTOS ET	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 100 TO 499 10,000 OR MORE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 MARKET VECTORS A ☐ FILER ☐ LESS THAN \$5,000 MARKET VECTOS ET ☐ FILER ☐ LESS THAN 100 ☐ LESS THAN 100	SPOUSE S	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ □ \$25,000OR MORE

STOCK					PARI Z
☐ NOT APPLICABL	E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe er of shares held or acqu or loss realized from the	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information providing the number u	ation about a de under which the d	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
¹ BUSINESS ENTITY		MCDONALDS CORP (ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	□ 500 TO 999	1,000 TO 4,999
4 IF SOLD	NET GAIN □ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		MEDTRONIC INC CO		ME	
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	.D
NUMBER OF SHAR	ES	LESS THAN 100 5,000 TO 9,999	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		MICROCHIP TECHNO		ME	
BUSINESS ENTITY STOCK HELD OR A		MICROCHIP TECHNO		ME DEPENDENT CHIL	.D
	CQUIRED BY		DLOGY INC	DEPENDENT CHIL	.D ☐ 1,000 TO 4,999
STOCK HELD OR A	CQUIRED BY	☐ FILER ☐ LESS THAN 100	SPOUSE 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A NUMBER OF SHAR	CQUIRED BY RES NET GAIN NET LOSS	☒ FILER☒ LESS THAN 100☐ 5,000 TO 9,999	DLOGY INC SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	CQUIRED BY RES NET GAIN NET LOSS	☒ FILER☒ LESS THAN 100☒ 5,000 TO 9,999☒ LESS THAN \$5,000	DLOGY INC SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 MICROSOFT CORP	DLOGY INC SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 AME DEPENDENT CHIL \$500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ MICROSOFT CORP ☐ FILER ☐ LESS THAN 100	SPOUSE SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 AME DEPENDENT CHIL \$500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 MICROSOFT CORP ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE 100 TO 499 10,000 OR MORE SPOUSE 100 TO 499 100 TO 499 10,000 OR MORE 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 5 ☐ \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD	ACQUIRED BY RES ACQUIRED BY ACQUIRED BY RES INET GAIN INET LOSS	X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 MICROSOFT CORP X FILER LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000	SPOUSE 100 TO 499 10,000 OR MORE SPOUSE 100 TO 499 100 TO 499 10,000 OR MORE 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ 500 TO 999 \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY ACQUIRED BY	X FILER X LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 MICROSOFT CORP X FILER LESS THAN 100 5,000 TO 9,999 X LESS THAN \$5,000 MORGAN STANLEY	SPOUSE 100 TO 499 10,000 OR MORE SPOUSE 100 TO 499 100 TO 499 10,000 OR MORE 10,000 OR MORE \$5,000 - \$9,999 NA	☐ DEPENDENT CHIL ☐ 500 TO 999 \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ \$10,000 - \$24,999 E ☐ \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ \$500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY RES ACQUIRED BY ACQUIRED BY		SPOUSE 100 TO 499 10,000 OR MORE 100 TO 499 10,000 OR MORE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA	☐ DEPENDENT CHIL ☐ 500 TO 999 \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ \$10,000 - \$24,999 E ☐ \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ \$500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ ☐ 1,000 TO 4,999

STOCK					PART 2
☐ NOT APPLICABL	E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe or of shares held or acq or loss realized from the	uired. If some or all	of the stock was sold	l, also indicate the
When reporting inform providing the number of	ation about a de under which the o	pendent child's activity, child is listed on the Co	ver Sheet.	451414 · · · · · · · · · · · · · · · · · ·	eporting by
¹ BUSINESS ENTITY		NOBLE ENERGY INC	NA	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		NORDSTROM INC	NA	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	LESS THAN 100 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	55,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		NOVO NORDISK A S		ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	S10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		OCWEN FINL CORP		ME	
STOCK HELD OR A	CQUIRED BY		SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☒ 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		OMNICARE INC	NA	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHAR	RES	LESS THAN 100	X 100 TO 499 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN □ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
	COBY A	ND ATTACH ADDITION	ONAL DAGES AS	NECESSARY	

STOCK					PART 2
☐ NOT APPLICABL	.E				
and indicate the catego	ory of the numbe t of the net gain	your spouse, or a depe r of shares held or acq or loss realized from the	uired. If some or all	of the stock was sold	I, also indicate the
When reporting information providing the number u	ation about a depunder which the o	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by
¹ BUSINESS ENTITY		PAYCHEX INC	NA	ME	
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	NET GAIN □ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		PERRIGO CO	NA	ME	
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	NET GAIN □ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		***************************************	NA	ME	
		PFIZER INC			
STOCK HELD OR A	CQUIRED BY	PFIZER INC X FILER	SPOUSE	DEPENDENT CHIL	D
			☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR A		☐ LESS THAN 100	X 100 TO 499	☐ 500 TO 999	
STOCK HELD OR A NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	□ 500 TO 999	1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD	ES NET GAIN NET LOSS	☐ FILER☐ LESS THAN 100☐ 5,000 TO 9,999☐ LESS THAN \$5,000	X 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	□ \$10,000 - \$24,999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	NET GAIN NET LOSS	☐ LESS THAN 100☐ 5,000 TO 9,999☐ ☐ LESS THAN \$5,000☐ PHILLIP MORRIS INT	\times 100 TO 499 \times 10,000 OR MORE \times \$5,000 - \$9,999 \times NA \times INC.	500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PHILLIP MORRIS INT	100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA INC. SPOUSE 100 TO 499	500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR	NET GAIN NET LOSS ACQUIRED BY SES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PHILLIP MORRIS INTE ☐ LESS THAN 100 ☐ 5,000 TO 9,999	100 TO 499	500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE D ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD	NET GAIN NET LOSS CQUIRED BY ES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PHILLIP MORRIS INT ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	100 TO 499	500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY	NET GAIN NET LOSS ACQUIRED BY ES NET GAIN NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PHILLIP MORRIS INTE ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PLUM CREEK TIMBE	100 TO 499	500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAR IF SOLD BUSINESS ENTITY STOCK HELD OR A	NET GAIN NET LOSS ACQUIRED BY ES NET GAIN NET GAIN NET LOSS		100 TO 499	500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999

Austin, Texas 78711-2070

STOCK					PART 2
☐ NOT APPLICABL	LE				
and indicate the categ category of the amoun INSTRUCTION GUIDI	ory of the numbe nt of the net gain E.	your spouse, or a depe er of shares held or acqu or loss realized from the	uired. If some or all e sale. For more inf	of the stock was sold formation, see FORM	d, also indicate the 1 PFS
When reporting inform providing the number	nation about a de under which the o	pendent child's activity, child is listed on the Co	indicate the child at ver Sheet.	oout whom you are re	eporting by
¹ BUSINESS ENTITY	,	POWERSHARES QQC	NA Q TR UNITS	ME	
2 STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHAR	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	POWERSHARES S&P		ME	
STOCK HELD OR A	ACQUIRED BY		SPOUSE	☐ DEPENDENT CHIL	.D
NUMBER OF SHAF	RES	LESS THAN 100	■ 100 TO 499■ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
		·			
BUSINESS ENTITY	,	PRIN PRFD SEC FD (ME	
BUSINESS ENTITY STOCK HELD OR A		PRIN PRFD SEC FD C		ME DEPENDENT CHIL	D
	ACQUIRED BY		CL P	DEPENDENT CHIL	 ☐ 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999	CL P ☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE	DEPENDENT CHIL 500 TO 999	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999	CL P SPOUSE X 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	CL P SPOUSE X 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 : ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100☐ 5,000 TO 9,999☐ ☐ LESS THAN \$5,000☐ PROCTER & GAMBLE	SPOUSE SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 PROCTER & GAMBLE ☐ FILER ☐ LESS THAN 100	SPOUSE SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 SPOUSE 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	1,000 TO 4,999 \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PROCTER & GAMBLE ☐ LESS THAN 100 ☐ 5,000 TO 9,999	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ ☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 PROCTER & GAMBLE ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS (ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 PROCTER & GAMBLE ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 PROSHARES ULTRA	SPOUSE SPOUSE 100 TO 499 10,000 OR MORE 10,000 - \$9,999 NA 10,000 OR MORE 10,000 OR MORE 10,000 OR MORE \$5,000 - \$9,999 SHORT RUSSELL 20	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS (ACQUIRED BY	☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PROCTER & GAMBLE ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 ☐ PROSHARES ULTRA ☐ LESS THAN 100 ☐ LESS THAN 100	SPOUSE SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 SHORT RUSSELL 20 SPOUSE 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE

					PART 2
☐ NOT APPLICABLE	_				
List each business entity in which and indicate the category of the category of the amount of the new INSTRUCTION GUIDE.	numbe	r of shares held or acqu	ired. If some or all	of the stock was sold	d, also indicate the
When reporting information abo providing the number under whi	out a dep ich the d	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
¹ BUSINESS ENTITY		PROTHENA CORP PL	C SHS	ME	
2 STOCK HELD OR ACQUIRE	D BY	X FILER	SPOUSE	DEPENDENT CHILI	D
³ NUMBER OF SHARES		X LESS THAN 100☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET C	1	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		PVH CORP	NA	ME	
STOCK HELD OR ACQUIRE	ED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET C		X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		QUESTR CORP NPV	NA	ME	
STOCK HELD OR ACQUIRE	ED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
			=	_	1,000 TO 4,999 \$25,000OR MORE
NUMBER OF SHARES IF SOLD		5,000 TO 9,999	10,000 OR MORE \$5,000 - \$9,999		A CONTRACTOR OF THE PROPERTY O
NUMBER OF SHARES IF SOLD □ NET 0	LOSS	5,000 TO 9,999 X LESS THAN \$5,000	10,000 OR MORE \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
NUMBER OF SHARES IF SOLD NET I BUSINESS ENTITY	LOSS	5,000 TO 9,999 LESS THAN \$5,000 REGENERON PHARM	10,000 OR MORE \$5,000 - \$9,999 NA MACTCLS	\$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	\$25,000OR MORE
NUMBER OF SHARES IF SOLD NET I BUSINESS ENTITY STOCK HELD OR ACQUIRE NUMBER OF SHARES IF SOLD NET I	ED BY	☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 REGENERON PHARM ☐ FILER ☐ LESS THAN 100	10,000 OR MORE \$5,000 - \$9,999 NA MACTCLS SPOUSE 100 TO 499	\$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	\$25,000OR MORE
NUMBER OF SHARES IF SOLD NET I BUSINESS ENTITY STOCK HELD OR ACQUIRE NUMBER OF SHARES IF SOLD NET I	ED BY	☐ 5,000 TO 9,999 I LESS THAN \$5,000 REGENERON PHARM IFILER ILESS THAN 100 ☐ 5,000 TO 9,999	10,000 OR MORE \$5,000 - \$9,999 NA MACTCLS SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	\$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	\$25,000OR MORE
NUMBER OF SHARES IF SOLD NET I BUSINESS ENTITY STOCK HELD OR ACQUIRE NUMBER OF SHARES IF SOLD NET I	ED BY GAIN LOSS	☐ 5,000 TO 9,999 I LESS THAN \$5,000 REGENERON PHARM IN FILER IN LESS THAN 100 ☐ 5,000 TO 9,999 IN LESS THAN \$5,000	10,000 OR MORE \$5,000 - \$9,999 NA MACTCLS SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999	\$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999	\$25,000OR MORE D 1,000 TO 4,999 \$25,000OR MORE
NUMBER OF SHARES IF SOLD NET I BUSINESS ENTITY STOCK HELD OR ACQUIRE NUMBER OF SHARES IF SOLD NET I BUSINESS ENTITY	ED BY GAIN LOSS	☐ 5,000 TO 9,999 I LESS THAN \$5,000 REGENERON PHARM IN FILER IN LESS THAN 100 ☐ 5,000 TO 9,999 IN LESS THAN \$5,000 ROBERTHALF INTL II	10,000 OR MORE \$5,000 - \$9,999 NACTCLS SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NACCOM	\$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	\$25,000OR MORE D 1,000 TO 4,999 \$25,000OR MORE
NUMBER OF SHARES IF SOLD NET I BUSINESS ENTITY STOCK HELD OR ACQUIRE NUMBER OF SHARES IF SOLD NET I BUSINESS ENTITY STOCK HELD OR ACQUIRE NUMBER OF SHARES IF SOLD NET II NUMBER OF SHARES	ED BY GAIN LOSS ED BY	□ 5,000 TO 9,999 I LESS THAN \$5,000 REGENERON PHARM IN FILER IN LESS THAN 100 □ 5,000 TO 9,999 IN LESS THAN \$5,000 ROBERTHALF INTL II IN FILER □ LESS THAN 100	10,000 OR MORE \$5,000 - \$9,999 MACTCLS SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NC COM SPOUSE 100 TO 499	\$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 ME DEPENDENT CHIL 500 TO 999	\$25,000OR MORE \$25,000OR MORE \$25,000OR MORE \$25,000OR MORE \$25,000OR MORE \$25,000OR MORE

STOCK					PARI Z
☐ NOT APPLICABL	LE				
and indicate the category	ory of the numbe nt of the net gain	your spouse, or a depe er of shares held or acq or loss realized from the	uired. If some or all	of the stock was solo	d, also indicate the
When reporting inform providing the number (nation about a deluder which the community	pendent child's activity, child is listed on the Co	ver Sheet.		eporting by
¹ BUSINESS ENTITY	,	ROPER INDUSTRIES INC COM			
2 STOCK HELD OR A	ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	.D
³ NUMBER OF SHAR	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
⁴ IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	SALESFORCE COM II		ME	
STOCK HELD OR A	ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHAR	RES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	,	SEADRILL LTD	NA	AME	
BUSINESS ENTITY STOCK HELD OR A		SEADRILL LTD	NA SPOUSE	ME DEPENDENT CHIL	.D
	ACQUIRED BY			DEPENDENT CHIL	_D ☐ 1,000 TO 4,999
STOCK HELD OR A	ACQUIRED BY	☐ FILER ☐ LESS THAN 100	☐ SPOUSE ☐ 100 TO 499	DEPENDENT CHIL	
STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ 5,000 TO 9,999	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL	☐ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD	ACQUIRED BY RES NET GAIN NET LOSS	☒ FILER☒ LESS THAN 100☐ 5,000 TO 9,999☒ LESS THAN \$5,000	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	☐ DEPENDENT CHIL ☐ 500 TO 999 E ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 SLM CORP	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 AME DEPENDENT CHIL 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 SLM CORP ☐ FILER ☐ LESS THAN 100	SPOUSE 100 TO 499 10,000 OR MORE \$5,000 - \$9,999 NA SPOUSE 100 TO 499	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 AME DEPENDENT CHIL 500 TO 999	□ 1,000 TO 4,999 □ \$25,000OR MORE □ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES X NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 SLM CORP ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 NA □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999 □ 10,000 OR MORE	DEPENDENT CHIL 500 TO 999 \$10,000 - \$24,999 AME DEPENDENT CHIL 500 TO 999	□ 1,000 TO 4,999 □ \$25,000OR MORE □ 1,000 TO 4,999
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 SLM CORP ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 NA □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999 □ 10,000 OR MORE	☐ DEPENDENT CHILL ☐ 500 TO 999 E ☐ \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ 500 TO 999 E ☐ \$10,000 - \$24,999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 SLM CORP ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 SPDR GOLD TRUST	☐ SPOUSE ☐ 100 TO 499 ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 NA ☐ SPOUSE ☐ 10,000 OR MORE ☐ \$5,000 - \$9,999 ☐ NA	☐ DEPENDENT CHILL ☐ 500 TO 999 E ☐ \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ 500 TO 999 E ☐ \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE
STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A NUMBER OF SHAF IF SOLD BUSINESS ENTITY STOCK HELD OR A	ACQUIRED BY RES NET GAIN NET LOSS ACQUIRED BY RES NET GAIN NET LOSS	☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 SLM CORP ☐ FILER ☐ LESS THAN 100 ☐ 5,000 TO 9,999 ☐ LESS THAN \$5,000 SPDR GOLD TRUST ☐ FILER ☐ LESS THAN 100	□ SPOUSE □ 100 TO 499 □ 10,000 OR MORE □ \$5,000 - \$9,999 NA □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999 NA □ SPOUSE □ 10,000 OR MORE □ \$5,000 - \$9,999	☐ DEPENDENT CHILL ☐ 500 TO 999 E ☐ \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ 500 TO 999 E ☐ \$10,000 - \$24,999 AME ☐ DEPENDENT CHIL ☐ 500 TO 999	☐ 1,000 TO 4,999 ☐ \$25,000OR MORE ☐ 1,000 TO 4,999 ☐ \$25,000OR MORE

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you and indicate the category of the number category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acqu	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a deproviding the number under which the	ependent child's activity, child is listed on the Co	ver Sheet.		eporting by
¹ BUSINESS ENTITY	SPDR S P DIVID ETF	NA	ME	Warner -
2 STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD X NET GAIN NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	SPDR S&P 500 ETF T		ME	
STOCK HELD OR ACQUIRED BY	☐ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	☑ LESS THAN 100	☐ 100 TO 499	☐ 500 TO 999	1,000 TO 4,999
	5,000 TO 9,999	☐ 10,000 OR MORE		
IF SOLD ☑ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	TARGET CORP COM		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	TEXAS INSTRUMENT		AME	
STOCK HELD OR ACQUIRED BY	☐ FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	∑ 500 TO 999 E	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	∑ \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY			AME	
	TRANSDIGM GROUP	INC		
STOCK HELD OR ACQUIRED BY		NC SPOUSE	DEPENDENT CHIL	.D
***************************************			☐ 500 TO 999	D 1,000 TO 4,999
STOCK HELD OR ACQUIRED BY	☐ ☐ FILER ☐ ☐ LESS THAN 100	☐ SPOUSE ☐ 100 TO 499	☐ 500 TO 999	

STOCK					PART Z
☐ NOT APPLICABLE					
List each business entity in wh and indicate the category of th category of the amount of the INSTRUCTION GUIDE.	e numbe	er of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information ab providing the number under whether the second control of t				oout whom you are re	eporting by
¹ BUSINESS ENTITY		NAME TW TELECOM INC			
2 STOCK HELD OR ACQUIR	ED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHARES		LESS THAN 100	X 100 TO 499 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD ⊠ NET ☐ NET	GAIN LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		TWITTER INC	NA	ME	
STOCK HELD OR ACQUIR	ED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	X 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET	GAIN LOSS	LESS THAN \$5,000	∑ \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		ULTRA SALON COSM		ME	
STOCK HELD OR ACQUIR	ED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET		☑ LESS THAN \$5,000	5 ,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		UNITED STS STL CO		ME	
STOCK HELD OR ACQUIR	ED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES		☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
11 0000	GAIN LOSS	LESS THAN \$5,000	∑ \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY		UNITED TECHS COR		ME	
STOCK HELD OR ACQUIR	ED BY		SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES		LESS THAN 100	X 100 TO 499 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET	GAIN LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
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Austin, Texas 78711-2070

STOCK					PARI Z		
☐ NOT APPLICABL	E						
and indicate the catego	ory of the number t of the net gain	your spouse, or a depe er of shares held or acq or loss realized from the	uired. If some or all	of the stock was sold	d, also indicate the		
When reporting informations providing the number to	ation about a de under which the	pendent child's activity, child is listed on the Co	indicate the child al ver Sheet.	oout whom you are re	eporting by		
¹ BUSINESS ENTITY		VALERO ENERGY CO	VALERO ENERGY CORP NEW				
2 STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D		
³ NUMBER OF SHAR	ES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999		
⁴ IF SOLD	☐ NET GAIN X NET LOSS	LESS THAN \$5,000	X \$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
BUSINESS ENTITY		VANGUARD DIVIDEN		ME TF			
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D		
NUMBER OF SHAR	ES	LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999		
IF SOLD	NET GAIN □ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
BUSINESS ENTITY		VANGUARD HIGH DV		ME			
STOCK HELD OR A	CQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D		
NUMBER OF SHAR	ES		☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999		
IF SOLD	X NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
BUSINESS ENTITY		VANGUARD INFORM		ME			
STOCK HELD OR A	CQUIRED BY		SPOUSE	☐ DEPENDENT CHIL	D		
NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999		
IF SOLD	X NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
BUSINESS ENTITY		VANGUARD MEGA C		ME			
STOCK HELD OR A	CQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D		
NUMBER OF SHAR	ES	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999		
IF SOLD	NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE		
	COPY A	ND ATTACH ADDITION	ONAL PAGES AS	NECESSARY			

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the number category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acq	uired. If some or all	of the stock was sold	d, also indicate the
When reporting information about a de providing the number under which the			bout whom you are re	eporting by
¹ BUSINESS ENTITY	VIVUS INC DEL PV40		ME	
2 STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD □ NET GAIN ☑ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	WAL-MART STORES		ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	WELLS FARGO & CO NEW DEL			
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	☐ LESS THAN 100 ☐ 5,000 TO 9,999	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	WEYERHAEUSER CO		ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D wasterman
NUMBER OF SHARES	LESS THAN 100	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	1,000 TO 4,999
IF SOLD ⊠ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
II 00ED —	☐ LESS THAN \$5,000 WHIRLPOOL CORP		\$10,000 - \$24,999 ME	\$25,000OR MORE
□ NET LOSS				
BUSINESS ENTITY	WHIRLPOOL CORP	NA	ME DEPENDENT CHIL 500 TO 999	
BUSINESS ENTITY STOCK HELD OR ACQUIRED BY	WHIRLPOOL CORP FILER LESS THAN 100	NA SPOUSE 100 TO 499	ME DEPENDENT CHIL 500 TO 999	D 1,000 TO 4,999

PART 2 STOCK □ NOT APPLICABLE List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME ¹ BUSINESS ENTITY WINDSTREAM CORP ☐ SPOUSE ☐ DEPENDENT CHILD 2 STOCK HELD OR ACQUIRED BY X FILER 3 NUMBER OF SHARES LESS THAN 100 ☐ 100 TO 499 ☐ 500 TO 999 X 1,000 TO 4,999 5,000 TO 9,999 ☐ 10,000 OR MORE ⁴ IF SOLD ☐ NET GAIN ☐ LESS THAN \$5,000 🔀 \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE X NET LOSS NAME **BUSINESS ENTITY** WISDOMTREE TRUST JAPAN STOCK HELD OR ACQUIRED BY X FILER SPOUSE DEPENDENT CHILD ____ NUMBER OF SHARES X LESS THAN 100 ☐ 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 5,000 TO 9,999 ☐ 10,000 OR MORE X NET GAIN IF SOLD 💢 LESS THAN \$5,000 🔲 \$5,000 - \$9,999 🔲 \$10,000 - \$24,999 🔲 \$25,000--OR MORE ☐ NET LOSS NAME **BUSINESS ENTITY** WYNDHAM WORLDWIDE CORP W STOCK HELD OR ACQUIRED BY X FILER ☐ SPOUSE ■ DEPENDENT CHILD NUMBER OF SHARES X LESS THAN 100 100 TO 499 500 TO 999 1,000 TO 4,999 5,000 TO 9,999 ☐ 10,000 OR MORE X NET GAIN IF SOLD \$10,000 - \$24,999 \$25,000--OR MORE □ NET LOSS NAME **BUSINESS ENTITY** FEDEX CORP DELAWARE COM STOCK HELD OR ACQUIRED BY X FILER SPOUSE ☐ DEPENDENT CHILD NUMBER OF SHARES X LESS THAN 100 ☐ 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 5,000 TO 9,999 ☐ 10,000 OR MORE X NET GAIN IF SOLD ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ☐ NET LOSS NAME **BUSINESS ENTITY** FIRST TR FINANCIALS DEPENDENT CHILD _____ STOCK HELD OR ACQUIRED BY X FILER ☐ SPOUSE NUMBER OF SHARES X LESS THAN 100 ☐ 100 TO 499 500 TO 999 1,000 TO 4,999 5,000 TO 9,999 ■ 10,000 OR MORE X NET GAIN IF SOLD \$10,000 - \$24,999 \$25,000--OR MORE NET LOSS

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

STOCK				PART 2
☐ NOT APPLICABLE				
List each business entity in which you, and indicate the category of the number category of the amount of the net gain INSTRUCTION GUIDE.	er of shares held or acq	uired. If some or all	of the stock was sold	l, also indicate the
When reporting information about a de providing the number under which the			bout whom you are re	eporting by
¹ BUSINESS ENTITY	FIRST TR ISE GLOBA		ME	
² STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHARES	LESS THAN 100	■ 100 TO 499■ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	PEGASUS BANK	NA	ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	☐ 100 TO 499 ☒ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
BUSINESS ENTITY	AMR CORP	AM	ME	
STOCK HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	☐ 100 TO 499 ☑ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	55,000 - \$9,999	\$10,000 - \$24,999	X \$25,000OR MORE
BUSINESS ENTITY	BANK OF AMERICA	NA	ME	
STOCK HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES	LESS THAN 100	☐ 100 TO 499 ☒ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ⊠ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	X \$25,000OR MORE

BONDS, NOTES & OTHER COMMERCIAL PAPER PART 3				
☐ NOT APPLICABLE				
List all bonds, notes and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE				
When reporting information about providing the number under which			about whom you are reporting by	
¹ DESCRIPTION OF INSTRUMENT	CALIFORNIA ST VAR PURF			
² HELD OR ACQUIRED BY				
	X FILER	SPOUSE	DEPENDENT CHILD	
³ IF SOLD				
☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
DESCRIPTION OF INSTRUMENT	DALLAS TEX INDPT SCH			
HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHILD	
IF SOLD				
☐ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
DESCRIPTION OF INSTRUMENT	GILROY CALIF UNI SCH			
HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHILD	
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE	
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

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PART 3 **BONDS, NOTES & OTHER COMMERCIAL PAPER** ■ NOT APPLICABLE List all bonds, notes and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. DESCRIPTION GOLDEN ST TOB SCRTZN CRP OF INSTRUMENT ² HELD OR ACQUIRED BY X FILER ☐ SPOUSE □ DEPENDENT CHILD ___ ³ IF SOLD ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ■ NET GAIN ☐ NET LOSS **DESCRIPTION** HANFORD CALIF JT UN HSD OF INSTRUMENT HELD OR ACQUIRED BY X FILER ☐ SPOUSE ☐ DEPENDENT CHILD _____ IF SOLD LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE ■ NET GAIN ☐ NET LOSS DESCRIPTION LOS ANGELES CALIF DEPT OF INSTRUMENT HELD OR ACQUIRED BY ☐ DEPENDENT CHILD ____ X FILER SPOUSE IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE □ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BONDS, NOTES &	OTHER COMMER	CIAL PAPE	R	PART 3
☐ NOT APPLICABLE				
List all bonds, notes and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE				
When reporting information about providing the number under which			about whom you are reporting by	
¹ DESCRIPTION OF INSTRUMENT	MENLO PK CALIF CITY SC	Н		
² HELD OR ACQUIRED BY				
	∑ FILER	SPOUSE	DEPENDENT CHILD	
³ IF SOLD				
☐ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000	OR MORE
DESCRIPTION OF INSTRUMENT	MIAMI-DADE CNTY FLA			
HELD OR ACQUIRED BY				
	X FILER	SPOUSE	DEPENDENT CHILD	
IF SOLD				
☐ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000	OR MORE
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

PART 4 MUTUAL FUNDS ☐ NOT APPLICABLE List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME ¹ MUTUAL FUND BLACKROCK GLOBAL ² SHARES OF MUTUAL FUND X FILER ☐ SPOUSE HELD OR ACQUIRED BY DEPENDENT CHILD _____ 3 NUMBER OF SHARES LESS THAN 100 X 100 TO 499 500 TO 999 1,000 TO 4,999 OF MUTUAL FUND 5,000 TO 9,999 ☐ 10,000 OR MORE 4 IF SOLD ■ NET GAIN LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE NET LOSS NAME **MUTUAL FUND BLACKROCK RES & COMMODIT** SHARES OF MUTUAL FUND X FILER ☐ SPOUSE DEPENDENT CHILD _____ HELD OR ACQUIRED BY NUMBER OF SHARES LESS THAN 100 100 TO 499 500 TO 999 X 1,000 TO 4,999 OF MUTUAL FUND 5,000 TO 9,999 10,000 OR MORE IF SOLD ☐ NET GAIN LESS THAN \$5,000 \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE ☐ NET LOSS NAME **MUTUAL FUND** COHEN & STEERS MLP INCOM SHARES OF MUTUAL FUND X FILER ☐ SPOUSE HELD OR ACQUIRED BY DEPENDENT CHILD ____ NUMBER OF SHARES LESS THAN 100 X 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 OF MUTUAL FUND 5,000 TO 9,999 ☐ 10,000 OR MORE IF SOLD ☐ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ☐ NET LOSS

MUTUAL FUNDS				PART 4
☐ NOT APPLICABLE				
List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				
¹ MUTUAL FUND	JAPAN EQUITY FUND IN	NAI NC	ME	
² SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
³ NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	NUVEEN BUILD AMER E	NAI BD FD	ME	
	NOVELIN BOILD / III/L			
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499☐ 10,000 OR MORE	□ 500 TO 999 :	☐ 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	NUVEEN MORTGAGE C	NAI PPORTUNITY	ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100		□ 500 TO 999 :	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

MUTUAL FUNDS				PART 4
☐ NOT APPLICABLE				
List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				
¹ MUTUAL FUND	NUVEEN SANTA BARBA	NAI ARA DIV GRW FD CL		
² SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	D
3 NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999 :	X 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	OPPENHEIMER DEVEL	NAI OPING MARKETS FI		
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999		☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	OPPENHEIMER INTERN	NAI NATL GROWTH FD C		
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY		SPOUSE	DEPENDENT CHIL	D
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IF SOLD ☐ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

MUTUAL FUNDS				PART 4
☐ NOT APPLICABLE				
List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				
¹ MUTUAL FUND	PAX WORLD SMALL CA	NAI P FUND	ME	
² SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	□ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	PRINCIPAL GLOBAL DIV	NAI /ERSI	ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	∑ 500 TO 999	1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	SUNAMERICA FOCUSE		ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	X 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

MUTUAL FUNDS				PART 4
☐ NOT APPLICABLE				
List each mutual fund and the number acquired during the calendar year a some or all of the shares of a mutual from the sale. For more information When reporting information about a providing the number under which the	ind indicate the category on al fund were sold, also indi n, see FORM PFSINSTR dependent child's activity	f the number of shan cate the category of UCTION GUIDE , indicate the child a	res of mutual funds h the amount of the ne	eld or acquired. If et gain or loss realized
¹ MUTUAL FUND	SUNAMERICA FOCUSE	NAI D ALPHA	ME	
² SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
³ NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999		☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE
MUTUAL FUND	SUNAMIERICA INTL DIV	NAI /IDEND	ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999 :	☐ 1,000 TO 4,999
IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	5 \$10,000 - \$24,999	☐ \$25,000OR MORE
MUTUAL FUND	T ROWE PRICE EUROP	NAI EAN	ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999 E	☐ 1,000 TO 4,999
IF SOLD ☐ NET GAIN ☐ NET LOSS	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

PART 4 MUTUAL FUNDS ☐ NOT APPLICABLE List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME ¹ MUTUAL FUND THE INVESTMENT COMPANY OF AMERICA-A ² SHARES OF MUTUAL FUND X FILER ☐ SPOUSE DEPENDENT CHILD _____ HELD OR ACQUIRED BY 3 NUMBER OF SHARES LESS THAN 100 ☐ 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 OF MUTUAL FUND X 5,000 TO 9,999 ☐ 10,000 OR MORE 4 IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ■ NET LOSS NAME **MUTUAL FUND** TOUCHSTONE SANDS CAPITAL GROWTH FUND CL Y SHARES OF MUTUAL FUND HELD OR ACQUIRED BY X FILER SPOUSE DEPENDENT CHILD ____ NUMBER OF SHARES ☐ 500 TO 999 1,000 TO 4,999 LESS THAN 100 X 100 TO 499 OF MUTUAL FUND 5,000 TO 9,999 10,000 OR MORE IF SOLD □ NET GAIN \$10,000 - \$24,999 \$25,000--OR MORE LESS THAN \$5,000 \$5,000 - \$9,999 ☐ NET LOSS NAME **MUTUAL FUND** TRANSAMERICA EMERGING MARKET DEBT FD CL I SHARES OF MUTUAL FUND X FILER SPOUSE ☐ DEPENDENT CHILD _____ HELD OR ACQUIRED BY NUMBER OF SHARES LESS THAN 100 X 100 TO 499 ☐ 500 TO 999 1,000 TO 4,999 OF MUTUAL FUND 5,000 TO 9,999 ☐ 10.000 OR MORE IF SOLD ■ NET GAIN \$10,000 - \$24,999 \$25,000--OR MORE ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

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MUTUAL FUNDS				PART 4	
☐ NOT APPLICABLE					
List each mutual fund and the numacquired during the calendar year some or all of the shares of a mutufrom the sale. For more information. When reporting information about providing the number under which	and indicate the category o ual fund were sold, also indi on, see FORM PFSINSTR a dependent child's activity	f the number of shar cate the category of UCTION GUIDE , indicate the child at	es of mutual funds he the amount of the ne	eld or acquired. If t gain or loss realized	
¹ MUTUAL FUND	VIRTUS FOREIGN	NAN	1E		
² SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	☑ FILER	SPOUSE	DEPENDENT CHILI	D	
3 NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	X 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999	
4 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
MUTUAL FUND	WESTERN ASSET HIGH	NAN	ИE		
	WESTERN ASSETTION	THEE			
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D	
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	X 100 TO 499☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999	
IF SOLD ☐ NET GAIN ☐ NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	
MUTUAL FUND	BLACKROCK BUIILD AI	NAI MER BD	ME		
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	⊠ FILER	SPOUSE	DEPENDENT CHIL	.D	
NUMBER OF SHARES OF MUTUAL FUND	LESS THAN 100	☐ 100 TO 499 ☐ 10,000 OR MORE	∑ 500 TO 999	☐ 1,000 TO 4,999	
IF SOLD ☐ NET GAIN [X] NET LOSS	☑ LESS THAN \$5,000	5 ,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE	

MUTUAL FUNDS				PART 4
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List each mutual fund and the numb acquired during the calendar year at some or all of the shares of a mutua from the sale. For more information When reporting information about a providing the number under which the	nd indicate the category of If fund were sold, also indic , see FORM PFSINSTRI dependent child's activity,	f the number of shar cate the category of UCTION GUIDE indicate the child at	res of mutual funds he the amount of the ne	eld or acquired. If t gain or loss realized
¹ MUTUAL FUND	BLACKROCK GLOBAL	NAN	ME	
² SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHILI	D
3 NUMBER OF SHARES OF MUTUAL FUND	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD X NET GAIN NET LOSS	☒ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	FRANKLIN RISING	NAt	ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	☐ DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999		☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	IVY SCIENCE & TECH F		ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999 Ξ	☐ 1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
COP	Y AND ATTACH ADDITI	ONAL PAGES AS	NECESSARY	

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MUTUAL FUNDS				PART 4
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List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				
¹ MUTUAL FUND	NUVEEN MORTGAGE O	NAN PPORTUNITY	AE	
² SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
³ NUMBER OF SHARES OF MUTUAL FUND	X LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
4 IF SOLD NET GAIN NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	NUVEEN SANTA BARBA	NAF ARA DIV GRW FD CL		
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100	X 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS	☑ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	OPPENHMR DEV MRKT	NAI 'S CL Y	ME	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	D
NUMBER OF SHARES OF MUTUAL FUND	∐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	☐ 500 TO 999	☐ 1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS	⊠ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE
COP	Y AND ATTACH ADDITI	ONAL PAGES AS	NECESSARY	

MUTUAL FUNDS				PART 4
☐ NOT APPLICABLE		- Language	Market Control of the	
List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFSINSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.				
¹ MUTUAL FUND	SUNAMER FOC DIV STF	NAI R CL W	ME	
² SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	⊠ FILER	SPOUSE	DEPENDENT CHIL	D
3 NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	☐ 100 TO 499 ☐ 10,000 OR MORE	∑ 500 TO 999 E	☐ 1,000 TO 4,999
4 IF SOLD ☑ NET GAIN ☐ NET LOSS	X LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
MUTUAL FUND	TOUCHSTONE SANDS		ME FUND CL Y	
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
NUMBER OF SHARES OF MUTUAL FUND	☐ LESS THAN 100 ☐ 5,000 TO 9,999	X 100 TO 499 ☐ 10,000 OR MORE	□ 500 TO 999 ≣	☐ 1,000 TO 4,999
IF SOLD ☑ NET GAIN ☐ NET LOSS		\$5,000 - \$9,999	\$10,000 - \$24,999	\$25,000OR MORE
				-

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INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS PART 5 ■ NOT APPLICABLE List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS ¹ SOURCE OF INCOME ALTRIA GROUP INC ² RECEIVED BY DEPENDENT CHILD _____ X FILER SPOUSE 3 AMOUNT \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE X \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME APPLE INC RECEIVED BY DEPENDENT CHILD _____ SPOUSE X FILER **AMOUNT** X \$10,000 - \$24,999 ☐ \$25,000--OR MORE **\$5,000 - \$9,999** \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME AT&T INC RECEIVED BY X FILER SPOUSE DEPENDENT CHILD _____ **AMOUNT X** \$500 - \$4,999 COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

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INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS PART 5				
□ NOT APPLICABLE				
List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFSINSTRUCTION GUIDE.				
When reporting information about providing the number under which	ut a dependent child's activition the child is listed on the C	ty, indicate the child a Cover Sheet.	bout whom you are reporting by	
¹ SOURCE OF INCOME	NAME AND ADDRESS BLACKROCK BUILD AMER BD			
² RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD	
³ AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
SOURCE OF INCOME	NAME AND ADDRESS			
SOURCE OF INCOME	BLACKROCK RES & COM	MMODIT		
RECEIVED BY	☑ FILER	SPOUSE	DEPENDENT CHILD	
AMOUNT	፟፟፟፟፟፟፟ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE	
COURCE OF INCOME		NAME AND AD	DRESS	
SOURCE OF INCOME	CALIFORNIA ST VAR PU	JRP		
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD	
AMOUNT	X \$500 - \$4,999	55,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE	
CORY AND ATTACH ADDITIONAL PAGES AS NECESSARY				

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INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS PART 5 ☐ NOT APPLICABLE List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS ¹ SOURCE OF INCOME CATERPILLAR INC ² RECEIVED BY SPOUSE DEPENDENT CHILD _____ X FILER 3 AMOUNT \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE X \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME DALLAS TEX INDPT SCH RECEIVED BY X FILER SPOUSE DEPENDENT CHILD _____ **AMOUNT** \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE X \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME **ELI LILLY & CO** RECEIVED BY X FILER ☐ SPOUSE DEPENDENT CHILD _____ **AMOUNT** □ \$5,000 - \$9,999 □ \$10,000 - \$24,999 □ \$25,000--OR MORE X \$500 - \$4,999

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INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS PART 5 □ NOT APPLICABLE List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS ¹ SOURCE OF INCOME **EMERSON ELEC CO** ² RECEIVED BY X FILER ☐ SPOUSE DEPENDENT CHILD _____ ³ AMOUNT □ \$5,000 - \$9,999 □ \$10,000 - \$24,999 □ \$25,000--OR MORE **X** \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME **ENERGY XXI GULF COAS INC SR NOTE** RECEIVED BY SPOUSE ☐ DEPENDENT CHILD _____ X FILER **AMOUNT** \$10,000 - \$24,999 \$25,000--OR MORE \$5,000 - \$9,999 X \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME FRANKLIN RISING **RECEIVED BY** X FILER SPOUSE DEPENDENT CHILD _____ **AMOUNT** X \$500 - \$4,999 COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INCOME FROM INT	EREST, DIVIDEN	DS, ROYAL	TIES & RENTS PART 5
☐ NOT APPLICABLE			- Salara - S
List each source of income you, interest, dividends, royalties and more information, see FORM PF	rents during the calendar ye	t child received in ex ear and indicate the c	cess of \$500 that was derived from ategory of the amount of the income. For
When reporting information about providing the number under which	ut a dependent child's activity	y, indicate the child a over Sheet.	bout whom you are reporting by
1 SOURCE OF INCOME	GILROY CALIF UNI SCH	NAME AND ADI	DRESS
² RECEIVED BY	⊠ FILER	SPOUSE	DEPENDENT CHILD
³ AMOUNT	፟፟፟፟፟፟፟፟ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
SOURCE OF INCOME		NAME AND AD	DRESS
300KGE OF INCOME	GOLDEN ST TOB SCRTZ	N CRP	
·			
RECEIVED BY	☑ FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	፟፟፟፟፟፟፟፟፟	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE
SOURCE OF INCOME		NAME AND AD	DRESS
SOUNCE OF INCOME	HANFORD CALIF JT UN F	HSD	
RECEIVED BY	☑ FILER	☐ SPOUSE	DEPENDENT CHILD
AMOUNT	X \$500 - \$4,999	55,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
CORY AND ATTACH ADDITIONAL PAGES AS NECESSARY			

Austin, Texas 78711-2070 (512)463-5800

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS PART 5				
☐ NOT APPLICABLE	□ NOT APPLICABLE			
List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFSINSTRUCTION GUIDE.				
When reporting information about providing the number under which	ut a dependent child's activity the the child is listed on the C	ty, indicate the child a Cover Sheet.	bout whom you are reporting by	
¹ SOURCE OF INCOME	ISHARES IBOXX\$ HIGH Y	NAME AND ADI	DRESS	
² RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD	
³ AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
SOURCE OF INCOME		NAME AND AD	DRESS	
	LOS ANGELES CALIF DE	PT		
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD	
AMOUNT	፟፟፟፟፟፟፟፟፟	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
SOURCE OF INCOME		NAME AND AD	DRESS	
	MENLO PK CALIF CITY S	SCH		
RECEIVED BY	☑ FILER	SPOUSE	DEPENDENT CHILD	
AMOUNT	X \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE	
		TIONAL DAGES AS	NECESSARV	

INCOME FROM INT	EREST, DIVIDEN	IDS, ROYAL [.]	TIES & RENTS PART 5
List each source of income you, interest, dividends, royalties and more information, see FORM PF	rents during the calendar ye	ear and indicate the c	cess of \$500 that was derived from category of the amount of the income. For
When reporting information about providing the number under which			bout whom you are reporting by
¹ SOURCE OF INCOME	MIAMI-DADE CNTY FLA	NAME AND ADI	DRESS .
	·		
² RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
³ AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE
SOURCE OF INCOME	NUVEEN MORTGAGE OF	NAME AND AD	DRESS
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
SOURCE OF INCOME		NAME AND AD	DRESS
	NUVEEN SANTA BARBAF	RA DIV GRW FD CL I	
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
CC	OPY AND ATTACH ADDI	TIONAL PAGES AS	NECESSARY

Texas Ethics Commission

INCOME FROM INT	EREST, DIVIDEN	IDS, ROYAL	TIES & RENTS PART 5
☐ NOT APPLICABLE			
List each source of income you, interest, dividends, royalties and more information, see FORM PF	rents during the calendar ye	nt child received in ex ear and indicate the c	cess of \$500 that was derived from attegory of the amount of the income. For
When reporting information about providing the number under which	ut a dependent child's activit ch the child is listed on the C	y, indicate the child a Cover Sheet.	bout whom you are reporting by
1 SOURCE OF INCOME	PRINCIPAL GLOBAL DIVE	NAME AND ADI	DRESS
² RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
³ AMOUNT	☒ \$500 - \$4,999	\$5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE
SOURCE OF INCOME		NAME AND AD	DRESS
	SPDR S P DIVID ETF		
RECEIVED BY	X FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	፟፟፟⊠ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
SOURCE OF INCOME		NAME AND AD	DRESS
	SUNAMERICA FOCUSED	DIV STR CL W	
RECEIVED BY	☑ FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	፟፟፟፟ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
C	OPY AND ATTACH ADDI	TIONAL PAGES AS	NECESSARY

INCOME FROM INT NOT APPLICABLE	EREST, DIVIDEN	DS, ROYAL ⁻	TIES & RENTS PART 5
List each source of income you, interest, dividends, royalties and more information, see FORM PF	rents during the calendar year	child received in ex ar and indicate the c	cess of \$500 that was derived from category of the amount of the income. For
When reporting information about providing the number under which	ut a dependent child's activity ch the child is listed on the Co	, indicate the child a over Sheet.	bout whom you are reporting by
¹ SOURCE OF INCOME	TEXAS INSTRUMENTS	NAME AND ADI	DRESS
² RECEIVED BY		SPOUSE	DEPENDENT CHILD
³ AMOUNT	☒ \$500 - \$4,999	S5,000 - \$9,999	\$10,000 - \$24,999 \$25,000OR MORE
SOURCE OF INCOME	WAL-MART STORES INC	NAME AND AD	DRESS
	VVALTIMANT OTONEO INO		
RECEIVED BY	⊠ FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	X \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
SOURCE OF INCOME	WHOLE FOODS MKT INC	NAME AND AD	DRESS
RECEIVED BY	ズ FILER	SPOUSE	DEPENDENT CHILD
AMOUNT	⊠ \$500 - \$4,999	\$5,000 - \$9,999	☐ \$10,000 - \$24,999 ☐ \$25,000OR MORE
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY			

P.O. Box 12070 Austin, Texas 78711-2070

PART 5 **INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS** ■ NOT APPLICABLE List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS ¹ SOURCE OF INCOME WINDSTREAM CORP ² RECEIVED BY X FILER SPOUSE DEPENDENT CHILD _____ 3 AMOUNT X \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME **DESMOND BRYANT** RECEIVED BY X FILER ☐ SPOUSE DEPENDENT CHILD _____ **AMOUNT** ☐ \$10,000 - \$24,999 🛛 \$25,000--OR MORE **55,000 - \$9,999** \$500 - \$4,999 NAME AND ADDRESS SOURCE OF INCOME STEPHOND WEST RECEIVED BY X FILER SPOUSE DEPENDENT CHILD _____ **AMOUNT** \$500 - \$4,999 X \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INTERESTS IN REAL	PROPERTY			PART 7A
☐ NOT APPLICABLE				
Describe all beneficial interests in calendar year. If the interest was seen for an explanation of 'beneficial in INSTRUCTION GUIDE.	sold, also indicate the ca	tegory of the amoun	t of the net gain or loss	realized from the sale.
When reporting information about providing the number under which	a dependent child's activ the child is listed on the	ity, indicate the child Cover Sheet.	l about whom you are r	eporting by
¹ HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	.D
2 STREET ADDRESS NOT AVAILABLE CHECK IF FILER'S HOME ADDRESS		STREET ADDRESS, INCLUDI	NG CITY, COUNTY AND STATE	
³ DESCRIPTION	NUMBE	ER OF LOTS OR ACRES AND I	NAME OF COUNTY WHERE LOCAT	FED
X LOTS ☐ ACRES	1 lot DALLAS COUNTY			
4 NAMES OF PERSONS RETAINING AN INTEREST NOT APPLICABLE (SEVERED MINERAL INTEREST)				
5 IF SOLD NET GAIN NET LOSS	LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE
HELD OR ACQUIRED BY	X FILER	SPOUSE	DEPENDENT CHIL	_D
STREET ADDRESS NOT AVAILABLE CHECK IF FILER'S HOME ADDRESS	1537 PLEASANT RUN DESOTO, TX 75115 DALLAS	STREET ADDRESS, INCLUDI	NG CITY, COUNTY AND STATE	
DESCRIPTION	NUMBI	ER OF LOTS OR ACRES AND	NAME OF COUNTY WHERE LOCAT	TED
☐ LOTS ☑ ACRES	5 acres DALLAS COUNTY			
NAMES OF PERSONS RETAINING AN INTEREST				
NOT APPLICABLE (SEVERED MINERAL INTEREST)	·			
· ·				
IF SOLD	☐ LESS THAN \$5,000	\$5,000 - \$9,999	\$10,000 - \$24,999	☐ \$25,000OR MORE
☐ NET LOSS		П фо,ооо - фа,ааа	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	
COE	Y AND ATTACH ADD	ITIONAL PAGES A	S NECESSARY	

1-800-325-8506 Austin, Texas 78711-2070 (512)463-5800 P.O. Box 12070 Texas Ethics Commission PART 7A INTERESTS IN REAL PROPERTY □ NOT APPLICABLE Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. ¹ HELD OR ACQUIRED BY X FILER ☐ SPOUSE DEPENDENT CHILD STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE ² STREET ADDRESS 7318 OAKMORE DALLAS, TX 75249-1307 NOT AVAILABLE DALLAS CHECK IF FILER'S HOME ADDRESS NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED 3 DESCRIPTION 1 lot X LOTS **DALLAS COUNTY** ☐ ACRES ⁴ NAMES OF PERSONS RETAINING AN INTEREST NOT APPLICABLE (SEVERED MINERAL INTEREST) ⁵ IF SOLD \$25,000--OR MORE □ NET GAIN LESS THAN \$5,000 **55,000 - \$9,999** \$10,000 - \$24,999 ☐ NET LOSS HELD OR ACQUIRED BY □ DEPENDENT CHILD X FILER ☐ SPOUSE STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE STREET ADDRESS 1212 REGENTS PARK DESOTO, TX 75115-2837 NOT AVAILABLE **DALLAS** CHECK IF FILER'S HOME ADDRESS NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED DESCRIPTION X LOTS **DALLAS COUNTY** ☐ ACRES NAMES OF PERSONS RETAINING AN INTEREST NOT APPLICABLE (SEVERED MINERAL INTEREST) IF SOLD \$10,000 - \$24,999 \$25,000--OR MORE LESS THAN \$5,000 \$5,000 - \$9,999 ☐ NET GAIN

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

NET LOSS

P.O. Box 12070 Austin, Texas 78711-2070 (512)463-5800 1-800-325-8506 Texas Ethics Commission PART 7A INTERESTS IN REAL PROPERTY ■ NOT APPLICABLE Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. ¹ HELD OR ACQUIRED BY X FILER ☐ DEPENDENT CHILD STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE ² STREET ADDRESS 320 SOUTH R. L. THORNTON FREEWAY ■ NOT AVAILABLE SUITE 300 DALLAS, TX 75203-1804 ☐ CHECK IF FILER'S HOME ADDRESS **DALLAS** NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED 3 DESCRIPTION 1 lot X LOTS ☐ ACRES ⁴ NAMES OF PERSONS RETAINING AN INTEREST ■ NOT APPLICABLE (SEVERED MINERAL INTEREST) ⁵ IF SOLD \$25,000--OR MORE LESS THAN \$5,000 \$5,000 - \$9,999 **\$10,000 - \$24,999** ☐ NET GAIN ☐ NET LOSS

Austin, Texas 78711-2070

PART 7B INTERESTS IN BUSINESS ENTITIES ■ NOT APPLICABLE Describe all beneficial interests in business entities held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. ¹ HELD OR ACQUIRED BY X FILER ☐ SPOUSE ☐ DEPENDENT CHILD NAME AND ADDRESS ² DESCRIPTION (check if Filer's Home Address) ROYCE WEST & ASSOCIATES, P.C. 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 ³ IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ☐ NET LOSS HELD OR ACQUIRED BY X FILER SPOUSE ■ DEPENDENT CHILD NAME AND ADDRESS **DESCRIPTION** (check if Filer's Home Address) SKYVIEW DEVELOPMENT LLC 320 SOUTH R. L. THORNTON FREEWAY DALLAS, TX 75203-1804 IF SOLD ■ NET GAIN ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE NET LOSS HELD OR ACQUIRED BY X FILER ☐ SPOUSE DEPENDENT CHILD NAME AND ADDRESS DESCRIPTION (check if Filer's Home Address) WEST & ASSOCIATES, LLP 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 IF SOLD ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE ■ NET GAIN ☐ NET LOSS COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

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GIFTS			PART 8	3
☐ NOT APPLICABLE				
describe the gift. The description include a statement of the value of registered as a lobbyist under cha 3) gifts given by a person related to see FORM PFSINSTRUCTION (of a gift of cash or a cash f the gift. Do not include: pter 305 of the Governme o the recipient within the s GUIDE ut a dependent child's ac	equivalent, such as a r 1) expenditures require ent Code; 2) political con- second degree of conse ctivity, indicate the chil-	bu, your spouse, or a dependent child, and negotiable instrument or gift certificate, must d to be reported by a person required to be ntributions reported as required by law; or anguinity or affinity. For more information, d about whom you are reporting by	
¹ DONOR	SENATE COMMITTEE	NAME AND A ON JURISPRUDENCE		
·	SAM HOUSTON BUILD 201 E 14TH ST - ROOF AUSTIN, TX 78701			
² RECIPIENT				
	X FILER	SPOUSE	DEPENDENT CHILD	
³ DESCRIPTION OF GIFT	\$600 GIFT CARD TO F JURISPRUDENCE CO	PURCHASE COWBOY MMITTEE	BOOTS - FROM MEMBERS OF THE	
				_
		,	AND THE RESIDENCE OF THE PARTY	

PART 11A ASSETS OF BUSINESS ASSOCIATIONS ☐ NOT APPLICABLE Describe all assets of each coporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS (Check if Filer's Home Address) **BUSINESS** ROYCE WEST & ASSOCIATES, P.C. **ASSOCIATION** 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 PROFESSIONAL CORPORATION ² BUSINESS TYPE ³ HELD, ACQUIRED, X FILER SPOUSE DEPENDENT CHILD _____ OR SOLD BY DESCRIPTION CATEGORY 4 ASSETS NO ASSETS □ \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE

Texas Ethics Commission P.O. Box 12070 Austin, Texas 78711-2070 (512)463-5800 1-800-325-8506 PART 11A ASSETS OF BUSINESS ASSOCIATIONS ■ NOT APPLICABLE Describe all assets of each coporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS (Check if Filer's Home Address) ¹ BUSINESS SKYVIEW DEVELOPMENT LLC **ASSOCIATION** 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 REAL ESTATE DEVELOPMENT: LIMITED LIABILITY COMPANY ² BUSINESS TYPE ³ HELD, ACQUIRED, X FILER ☐ SPOUSE DEPENDENT CHILD _____ OR SOLD BY DESCRIPTION CATEGORY 4 ASSETS BUILDING ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 □ \$10,000 - \$24,999 \$25,000--OR MORE

Texas Ethics Commission P.O. Box 12070 PART 11A ASSETS OF BUSINESS ASSOCIATIONS ☐ NOT APPLICABLE Describe all assets of each coporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. NAME AND ADDRESS (Check if Filer's Home Address) ¹ BUSINESS WEST & ASSOCIATES, LLP **ASSOCIATION** 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 LIMITED LIABILITY PARTNERSHIP ² BUSINESS TYPE ³ HELD, ACQUIRED, X FILER ☐ SPOUSE □ DEPENDENT CHILD ___ OR SOLD BY CATEGORY DESCRIPTION 4 ASSETS PROPERTY/EQUIPMENT X LESS THAN \$5,000 ☐ \$5,000 - \$9,999 \$10,000 - \$24,999 \$25,000--OR MORE OFFICE FURNITURE LESS THAN \$5,000 \$5,000 - \$9,999 X \$10,000 - \$24,999 \$25,000--OR MORE COMPUTER EQUIPMENT ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 X \$10,000 - \$24,999 ☐ \$25,000--OR MORE

Austin, Texas 78711-2070

Texas Ethics Commission

LIABILITIES O	F BUSINESS ASSOC	IATIONS		PART 11B
☐ NOT APPLICABLE				
corporation, professiona dent child held, acquired of the liabilities. For more When reporting informat	each coporation, firm, partnership, I I association, joint venture, or other I, or sold 50 percent or more of the re information, see FORM PFSINS ion about a dependent child's activited which the child is listed on the 0	business association outstanding ownersl STRUCTION GUIDE ty, indicate the child	on in which you, your spou hip and indicate the categ :.	ise, or a depen- ory of the amount
¹ BUSINESS ASSOCIATION	NAME WEST & ASSOCIATES, LLP	AND ADDRESS	(Check if Filer's Home Address)	
	320 SOUTH R.L. THORNTON FRE SUITE 300 DALLAS, TX 75203-1804	EWAY		
² BUSINESS TYPE	LIMITED LIABILITY PARTNERSHII	•		
³ HELD, ACQUIRED, OR SOLD BY	X FILER	SPOUSE	DEPENDENT CHILD	
⁴ LIABILITIES	DESCRIPTION CLIENT TRUST ACCOUNT		CATI	EGORY

Austin, Texas 78711-2070

PART 11B LIABILITIES OF BUSINESS ASSOCIATIONS □ NOT APPLICABLE Describe all liabilities of each coporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the liabilities. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. (Check if Filer's Home Address) NAME AND ADDRESS ¹ BUSINESS SKYVIEW DEVELOPMENT LLC **ASSOCIATION** 320 SOUTH R. L. THORNTON FREEWAY SUITE 300 DALLAS, TX 75203-1804 LIMITED LIABILITY COMPANY ² BUSINESS TYPE ³ HELD, ACQUIRED, X FILER ☐ SPOUSE DEPENDENT CHILD _____ OR SOLD BY CATEGORY DESCRIPTION ⁴ LIABILITIES DEBT ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 \$25,000--OR MORE **TENANT DEPOSITS** ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 X \$10,000 - \$24,999 ☐ \$25,000--OR MORE

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PART 12 BOARDS AND EXECUTIVE POSITIONS

☐ NOT APPLICABLE List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE. When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet. BLACK AMERICA WEB RELIEF FUND ¹ ORGANIZATION **SECRETARY** ² POSTITION HELD ³ POSITION HELD BY X FILER ☐ SPOUSE □ DEPENDENT CHILD _____ CIRCLE TEN COUNCIL OF BOY SCOUTS OF AMERICA **ORGANIZATION** VICE PRESIDENT SCOUT REACH **POSTITION HELD** POSITION HELD BY X FILER SPOUSE DEPENDENT CHILD _____ **EDUCATION IS FREEDOM ORGANIZATION BOARD MEMBER POSTITION HELD** POSITION HELD BY X FILER SPOUSE DEPENDENT CHILD _____ ROYCE WEST & ASSOCIATES, P.C. **ORGANIZATION PRESIDENT POSTITION HELD** POSITION HELD BY X FILER SPOUSE DEPENDENT CHILD _____ SKYVIEW DEVELOPMENT LLC **ORGANIZATION PRESIDENT POSTITION HELD** POSITION HELD BY X FILER SPOUSE DEPENDENT CHILD _____ COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BOARDS AND EXE	CUTIVE POSITION	NS	PAF	RT 12
☐ NOT APPLICABLE				
your spouse, or a dependent ch ships, professional corporations	ild hold in corporations, firms , professional associations, j	s, partnerships, lim oint ventures, othe	a member and all executive positions ited partnerships, limited liability partner business associations, or proprietors on, see FORM PFSINSTRUCTION G	er- hips,
When reporting information abo providing the number under whi	ut a dependent child's activit ch the child is listed on the C	y, indicate the child over Sheet.	d about whom you are reporting by	
¹ ORGANIZATION	TOM JOYNER FOUNDATIO	N, INC		
² POSTITION HELD	SECRETARY			
³ POSITION HELD BY	⊠ FILER	SPOUSE	DEPENDENT CHILD	
ORGANIZATION	WEST & ASSOCIATES, LLF			
POSTITION HELD	MANAGING PARTNER			
POSITION HELD BY	X FILER	SPOUSE	DEPENDENT CHILD	
	DRY AND ATTACH ADDIT	IONAL DACES A	C NECESSARV	

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EXPENSES ACCEP	PTED UNDER HONORARIUM EXCEPTION PART 13		
☐ NOT APPLICABLE			
Identify any person who provided you with necessary transportation, meals, or lodging, as permitted under section 36.07(b) of the Penal Code, in connection with a conference or similar event in which you rendered services, such as addressing an audience or participating in a seminar, that were more than perfunctory. Also provide the amount of the expenditures on transportation, meals, or lodging. You are not required to include items you have already reported as political contributions on a campaign finance report, or expenditures required to be reported by a lobbyist under the lobby law (chapter 305 of the Government Code). For more information, see FORM PFSINSTRUCTION GUIDE			
¹ PROVIDER	NAME AND ADDRESS		
	TEXAS ASSOCIATION OF MEXICAN AMERICAN CHAMBER OF COMMERCE (TAMACC)		
	P.O. BOX 41780 AUSTIN, TX 78704		
	AUSTIN, 1X 78704		
² AMOUNT	\$138.06		
•			

1-800-325-8506 Texas Ethics Commission P.O. Box 12070 Austin, Texas 78711-2070 **PART 15** FEES RECEIVED FOR SERVICES RENDERED TO A LOBBYIST OR LOBBYIST'S EMPLOYER ☐ NOT APPLICABLE Report any fee you received for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you actually know directly compensates or reimburses a person required to be registered as a lobbyist. Report the name of each person or entity for which the services were provided, and indicate the category of the amount of each fee. For more information, see FORM PFS--INSTRUCTION GUIDE. PERSON OR ENTITY ANDREWS KURTH FOR WHOM SERVICES WERE PROVIDED ² FEE CATEGORY ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE PERSON OR ENTITY BANK OF AMERICA CORPORATION FOR WHOM SERVICES WERE PROVIDED FEE CATEGORY ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE PERSON OR ENTITY DALLAS INDEPENDENT SCHOOL DISTRICT FOR WHOM SERVICES WERE PROVIDED FEE CATEGORY ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE PERSON OR ENTITY FIRST SOUTHWEST COMPANY FOR WHOM SERVICES WERE PROVIDED **FEE CATEGORY** ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE PERSON OR ENTITY LINEBARGER GOGGAN BLAIR & SAMPSON FOR WHOM SERVICES WERE PROVIDED **FEE CATEGORY** X LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE

PART 15 FEES RECEIVED FOR SERVICES RENDERED TO A LOBBYIST OR LOBBYIST'S EMPLOYER ☐ NOT APPLICABLE Report any fee you received for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you actually know directly compensates or reimburses a person required to be registered as a lobbyist. Report the name of each person or entity for which the services were provided, and indicate the category of the amount of each fee. For more information, see FORM PFS--INSTRUCTION GUIDE. PERSON OR ENTITY ANDREWS KURTH FOR WHOM SERVICES WERE PROVIDED ² FEE CATEGORY ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE PERSON OR ENTITY BANK OF AMERICA CORPORATION FOR WHOM SERVICES WERE PROVIDED FEE CATEGORY ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE PERSON OR ENTITY DALLAS INDEPENDENT SCHOOL DISTRICT FOR WHOM SERVICES WERE PROVIDED FEE CATEGORY ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE PERSON OR ENTITY FIRST SOUTHWEST / PLAINS CAPITAL FOR WHOM SERVICES WERE PROVIDED FEE CATEGORY ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE PERSON OR ENTITY LINEBARGER GOGGAN BLAIR & SAMPSON FOR WHOM SERVICES WERE PROVIDED FEE CATEGORY X LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE PERSON OR ENTITY CITY OF DALLAS FOR WHOM SERVICES WERE PROVIDED **FEE CATEGORY** ☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE

Texas Ethics Commission P.O. Box 12070 Austin, Texas 78711-2070 1-800-325-8506 **PART 15** FEES RECEIVED FOR SERVICES RENDERED

TO A LOBBYIST OR LOBBYIST'S EMPLOYER NOT APPLICABLE	
Report any fee you received for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you actually know directly compensates or reimburses a person required to be registered as a lobbyist. Report the name of each person or entity for which the services were provided, and indicate the category of the amount of each fee. For more information, see FORM PFSINSTRUCTION GUIDE.	
1 PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	HOUSTON INDEPENDENT SCHOOL DISTRICT
² FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	JP MORGAN SECURITIES LLC
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 \$10,000 - \$24,999 ☐ \$25,000OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	DALLAS AREA RAPID TRANSIT (DART)
FEE CATEGORY	☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000OR MORE
CODY	
COPY A	ND ATTACH ADDITIONAL PAGES AS NECESSARY

PERSONAL FINANCIAL STATEMENT PARTS MARKED 'NOT APPLICABLE' BY FILER

Rather than printing a page for each Part the filer checked 'Not Applicable,' this page summarizes whether the 'Not Applicable' checkbox was checked for each Part. If the checkbox is checked next to a Part below, then no pages for that Part should be present in the report. If a checkbox is not checked, then pages for that Part should be present in the report.

☐ N/A Part 1A - Sources of Occupational Income
☑ N/A Part 1B - Retainers
□ N/A Part 2 - Stock
☐ N/A Part 3 - Bonds, Notes & Other Commercial Paper
□ N/A Part 4 - Mutual Funds
☐ N/A Part 5 - Income from Interest, Dividends, Royalties & Rents
☐ N/A Part 6 - Personal Notes and Lease Agreements
☐ N/A Part 7A - Interests in Real Property
☐ N/A Part 7B - Interests in Business Entities
□ N/A Part 8 - Gifts
N/A Part 9 - Trust Income
N/A Part 10A - Blind Trusts
N/A Part 10B - Trustee Statement
☐ N/A Part 11A - Assets of Business Associations
☐ N/A Part 11B - Liabilities of Business Associations
☐ N/A Part 12 - Boards and Executive Positions
☐ N/A Part 13 - Expenses Accepted Under Honorarium Exception
N/A Part 14 - Interest in Business in Common with Lobbyist
□ N/A Part 15 - Fees Received for Services Rendered to a Lobbyist or Lobbyist's Employer
N/A Part 16 - Representation by Legislator Before State Agency
□ N/A Part 17 - Benefits Derived from Functions Honoring Public Servant
N/A Part 18 - Legislative Continuances

PERSONAL FINANCIAL STATEMENT AFFIDAVIT

P.O. Box 12070

The law requires the personal financial statement to be verified. The vertication page must have the signature of the individual required to file the personal financial statement, as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations. Without proper verification, the statement is not considered filed.

I swear, or affirm, under penalty of perjury, that this financial statement covers calendar year ending December 31, **2013**, and is true and correct and includes all information required to be reported by me under chapter 572 of the Government)Code.

Signature of Filer



AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me by Royle Dest this the Distance day of Junuary, 20 IM to certify which, witness my hand and seal of office.

Signature of officer administering oath

Printed name of officer administering oath

Title of officer administering oath